

Schedule #: 89-039Date Approved: JUN 12 1989

CREATING OFFICE: Department of Administrative Services
Commissioner's Office
Legal Affairs
[Agency code #401-02]

SERIES TITLE: "Client Files"

DATES COVERED: 1973 and continuing

OPEN [] CONFIDENTIAL [X] Authority: O.C.G.A. 15-19-4,
(3); 24-9-24; 50-18-72

RECORDS

RELATING TO: Legal Affairs provides legal support for all
DOAS Division. Files document unit's response
to requests for legal advice or services on:
contracts, personnel actions, legislation, or
other issues on which DOAS Divisions seek
legal advice.

ARRANGEMENT: Filed by client name (DOAS division) and
thereunder by title (topic or name of case).
Unit maintains a computer index to files.

RETENTION

REQUIREMENTS: Administrative need: 7 years after no longer
needed in office for ready reference.

DISPOSITION

INSTRUCTIONS: - Cut-off individual files when no longer
needed in office for ready reference;
- Move to the inactive file;
- Each December, or January, transfer
inactive files to State Records Center;
- State Records Center to hold six (6)
years;
- Then destroy.

[See application #890406-01 for Agency Head/Designee and RMO
signatures, and for additional information about this series]

<u>State Records Committee</u>	<u>Signature</u>	<u>Date</u>
<u>Secretary of State/Designee</u>	<i>Edward W. Weldon</i>	<i>6/5/89</i>
<u>State Auditor/Designee</u>	<i>W. H. Roper</i>	<i>6/12/89</i>
<u>Governor/Designee</u>	<i>W. H. Roper</i>	<i>6/7/89</i>

Schedule #: 89-040Date Approved: JUN 14 1989

CREATING OFFICE: Department of Administrative Services
 Commissioner's Office
 Legal Affairs
 [Agency code #401-14]

SERIES TITLE: "Liability Claim/Case File"

DATES COVERED: 1973 and continuing

OPEN [] CONFIDENTIAL [X] Authority: O.C.G.A. 15-19-4,
 (3); 24-9-24; 50-18-72

RECORDS

RELATING TO: Legal Affairs oversees the State Employee
 Liability Program. Files document
 complaints, investigative reports,
 attorney/client communications,
 judgements, and settlements.

ARRANGEMENT: Active files arranged alphabetically by
 claimant. Once closed, files are arranged
 by case number. Unit maintains a computer
 index to files (copy of entry screen
 attached).

RETENTION

REQUIREMENTS: Administrative need: 7 years after case
 is closed.

DISPOSITION

INSTRUCTIONS: - Cut-off individual files when case is
 closed by settlement or judgement.
 - Move to the inactive file, return to
 active file if case appealed;
 - Each December, or January, transfer
 inactive files to State Records Center;
 - State Records Center to hold six (6)
 years;
 - Then destroy.

[See application #890406-01 for Agency Head/Designee and RMO
 signatures, and for additional information about this series]

State Records Committee	Signature	Date
Secretary of State/Designee	<i>Edward M. Mullen</i>	6/5/89
State Auditor/Designee	<i>W. H. Rogers</i>	6/14/89
Governor/Designee	<i>W. H. Rogers</i>	6/7/89



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

890406-01

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date	1. Agency Address Department of Administrative Services Commissioner's Office - Legal Affairs 200 Piedmont Avenue, Suite 1504 West Atlanta, Georgia 30334	Application Number 89-039 + 040	
Application Number		Date Received APR 6 1989	Date Completed
2. Person to Contact Randy A. Nordin		Working Title Special Assistant to the Commissioner	
		Telephone Number 656-5379	
3. Action Requested a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest Latest 1973 To date		5. Records Series Title (followed by title used in office, if different) Client Files and Liability Claim/Case Files (Budget Nos. 401-02 and 401-14)	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? This unit of the DOAS Commissioner's Office is responsible for legal support to all divisions of the Department of Administrative Services and oversees the Employee Liability Program for the entire State of Georgia. All files are of a highly confidential nature, containing attorney/client communications. The claim/case files are records of liability claims and lawsuits filed against insured employees of the State of Georgia; this office is responsible for the investigation of the claims and cases, for making decisions regarding compensability and validity of these claims/cases, for providing defense for the insured employees, for the authorization and payment of settlements, and for the payment of judgments rendered against our insured defendants.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: (1) Client Files - Various requests for legal advice or services. (2) Claim Case Files - Claims and lawsuits filed against insured State employees and/or authorities. Included are: (1) Client Files - Contracts, Personnel Actions, Legislation, Litigation, and other issues for which legal advice may be sought by a DOAS division. (2) Claim Case Files - Complaints, Investigative Reports, Court Documents, Attorney/Client Communications, etc. *Files closed following settlement or court judgment; therefore, access is needed only upon appeal or due to related litigation. File is arranged: Chronologically			
8. Monthly Reference Rate How often are records referred to which are: One to six months old <u>1</u> ; Seven to twelve months old <u>1</u> ; Thirteen to twenty-four months old <u>2</u> ; twenty-five months and older <u>6 mos.</u> *Rare, if any, access required following closure of files.			
9. Annual Rate of Accumulation of Records Letter-size drawers _____ ; Legal-size drawers <u>5</u> ; Shelves _____ ; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column.)
X		a. Is this the official copy of the series? If not, where is it?
X		b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. O.C.G.A. §15-19-4 (3); 24-9-24; 50-18-72
	X	c. Is this a vital record?
	X	d. Does this series have historical or long term research value?
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 7 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

The records need to be retained long enough to exhaust all appeals.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☒ Hold in the current files area 12 month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☒ Transfer to State Records Center; hold 6 year(s); then
- ☒ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☐ Other (Specify)

1989 APR -6 PM 1:03

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
	3/31/89		04/03/89
State Auditor/Designee		State Records Committee (Signature)	
Secretary of State/Designee		Date	
GOVERNOR		See Attached	
Attorney General/Designee		two signature sheets	

890402-01
Recommendations in paragraph 12 are approved.
(If disapproved, attach letter of explanation.)